

Survey of ATP Applicants 2002

Nonawardees

Nov. 4 2003

Introduction

We are conducting this survey to help assess our award application process and understand the factors that led to your decision to apply to the program.

We consider all data you give us to be confidential. Westat, an independent research firm in Rockville, Maryland, is collecting the data for us; they are strictly required to protect the confidentiality of all the information collected.

GROUP 1

Special instruction for applicants who submitted a single proposal, but went through a resubmission process:

Many of the questions in the survey ask about your proposed ATP project. Our records show that you resubmitted your proposal after receiving initial feedback from ATP. As you answer the survey questions, please consider the project as it was represented in your final proposal to ATP.

GROUP 2

Special instruction for applicants who submitted multiple unique proposals (none awarded; no resubmissions):

Many of the questions in the survey ask about your proposed ATP project. Our records show that you submitted more than one unique proposal within the 2002 competition year. The titles of these proposals are shown below. Please indicate the proposed project for which you prefer to respond. We ask that you base your responses to the survey questions only on that proposed project.

- [proposal title]
- [proposal title]

GROUP 3

Special instruction for applicants who submitted multiple unique proposals (none awarded; at least one resubmission):

Many of the questions in the survey ask about your proposed ATP project. Our records show that you submitted more than one unique proposal within the 2002 competition year. The titles of these proposals are shown below. Please indicate the proposed project for which you prefer to respond. We ask that you base your responses to the survey questions only on that proposed project. Also, if your chosen proposal was resubmitted after receiving initial feedback from ATP, please answer the survey questions considering the project as it was represented in your final proposal to ATP.

- [proposal title] [PRESENT ONLY FINAL TITLE OF A RESUBMISSION]
- [proposal title]

GROUP 4

Special instruction for applicants who submitted multiple unique proposals (one awarded that was not a resubmission):

Many of the questions in the survey ask about your proposed ATP project. Our records show that you submitted more than one unique proposal within the 2002 competition year. The title of the proposal which was awarded funding is shown below. Please base your responses to the survey questions only on that proposed project.

[proposal title]

GROUP 5

Special instruction for applicants who submitted multiple unique proposals (one awarded, which was a resubmission):

Many of the questions in the survey ask about your proposed ATP project. Our records show that you submitted more than one unique proposal within the 2002 competition year. The title of the proposal which was awarded funding is shown below. Our records also show that you resubmitted this proposal after receiving initial feedback from ATP. As you answer the survey questions, please consider the project as it was represented in your final proposal to ATP.

[proposal title]

GROUP 6

[No special instruction needed for applicants who submitted a single proposal, without resubmission]

This survey is authorized under the Paperwork Reduction Act. Public reportings for this collection of information is estimated to average 25 minutes per response, including the time of reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

If you have comments about this estimate or any other aspects of this collection of information, including suggestions for reducing the length of this questionnaire, send them to the National Institute of Standards and Technology, 100 Bureau Drive, Stop 3220, Gaithersburg, MD 20899-3220 and the Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.

OMB NO: xxxx-xxxx Expires xx/xx/2005

Overview

This page provides information about: *(each of these bullets will be bookmarked to the relevant section below)*

- What kinds of questions you'll be asked
- How to navigate through the survey
- When are your answers saved
- How to clear your answers
- How to print the survey and/or your responses
- The three ways to leave the survey: Exit, Timeout, and Submit
- Where you can get help if you have additional questions

What kinds of question will you be asked?

There are six sections to the survey:

- I. Reasons for Applying to ATP
- II. Comparing Your Proposed ATP Project to a Typical R&D Project
- III. Other Characteristics of Your Proposed ATP Project
- IV. Proposal Preparation and Review
- V. Your Company's Funding for the Line of Research
- VI. About Your Company

How to navigate through the survey

Each page of the survey has two buttons that allow you move forward and backward through the pages of the survey. They are the "Previous Page" and "Next Page" buttons. On most pages, these buttons appear at both the top and the bottom of the page. You can change your responses as often as you like, and you can revisit sections of the survey as often as you like.

When are your answers saved?

Your answers are saved each time you move to a new page, go back to an earlier page, or exit the survey by clicking on "Save & Exit". If you click on the X in your browser window to exit the survey, your responses on the current page will not be saved. If you need to leave the survey before you have completed it, always click on the "Save & Exit" button that appears on each page of the survey.

How to clear your answers

Each question has a question number printed in blue to accompany it. You can click on the question number to clear your answer.

The three ways to leave the survey: Exit, Timeout, and Submit**Exit**

You do not have to complete the survey in one sitting. If you wish to exit the survey to return at a later time, all you have to do is click on the “Save & Exit” button and all your responses will be saved. However, your survey will not be considered complete until you “submit” it (see Submit section below).

Timeout

After 25 minutes of inactivity (that is, you haven’t interacted with the survey in 25 minutes), you will be given a “timeout” warning. After you get this warning, you’ll have 5 minutes to resume activity or you will be timed out. If you are timed out, new or changed responses to the questions on your current page will not be saved.

Submit

After you have navigated through the last section of the survey, you will be taken to a Finish page. If you have left any questions blank, you will be notified of this and you will be given the opportunity to go back and fill in missing answers. If you are satisfied that you are done with the survey, you will be instructed to click on the “Submit Survey” button, and this will complete your participation. Once you have clicked on this button, your survey is considered complete and you will not be able to access the survey online again.

How to print the survey and/or your responses

There are two ways to print the survey and/or your responses. To print the entire survey, including any answers you might have already entered, click on the “Print” button which appears at both the top and the bottom of most pages. To print just the page you are on, please use your browser’s print button.

Where you can get help if you have additional questions

If you have any questions, please email Jeffrey Kerwin, the Westat study manager, at xxxxxxxx@westat.com. You can also call him toll-free at 1-888-xxx-xxxx.

[Each section heading corresponds to a single page within the web survey]

SECTION HEADING: Reasons for Applying to ATP

For each question in the survey, mark the selection that best represents your view.

1. Below are several reasons why a company might apply to ATP for funding. Please tell us how important each reason was in your decision to apply to ATP:

1a. Internal company funding is not available.

Extremely important	1
Very important	2
Somewhat important	3
Not too important.....	4

1b. Internal company funding and commitment to the project depends on receiving external funding.

Extremely important	1
Very important	2
Somewhat important	3
Not too important.....	4

1c. ATP funding provides external validation of the technological potential of the project.

Extremely important	1
Very important	2
Somewhat important	3
Not too important.....	4

1d. ATP funding provides external validation of the commercial potential of the project.

Extremely important	1
Very important	2
Somewhat important	3
Not too important.....	4

1e. ATP funding facilitates collaboration among different organizations.

Extremely important	1
Very important	2
Somewhat important	3
Not too important.....	4

1f. ATP funding provides stability of funding for the project over time.

Extremely important	1
Very important	2
Somewhat important	3
Not too important.....	4

SECTION HEADING: Comparing Your Proposed ATP Project to a Typical R&D Project

- 2. We would like to know how the project you proposed to ATP compares to a typical R&D project at your company.**

First, think about technical risk.

- 2a. From 0 to 100%, what would you say is the approximate probability that your proposed ATP project could fully achieve its technical goals? (Try to answer based on how you thought about your project when you proposed it to ATP).**

_____ %

- 2b. What is the approximate probability that a typical R&D project at your company could fully achieve its technical goals?**

_____ %

Now consider the expected impact of your proposed ATP project on your company.

- 2c. Approximately how many years after the start of the project could you expect results to first have an impact on company revenue? (Try to answer based on how you thought about your project when you proposed it to ATP).**

_____ years

- 2d. **Think of the most optimistic estimate for company revenue that could result from your proposed ATP project once the impact on revenue begins.**

How much annual company revenue might result from this project.....

Two years after the initial revenue impact? (Check one)

Less than \$1 million.....	1
\$1 million to less than \$3 million	2
\$3 million to less than \$5 million	3
\$5 million to less than \$10 million	4
\$10 million to less than \$20 million	5
\$20 million to less than \$30 million	6
\$30 million to less than \$50 million	7
\$50 million to less than \$75 million	8
\$75 million to less than \$100 million	9
\$100 million to less than \$200 million	10
\$200 million to less than \$300 million	11
\$300 million to less than \$500 million	12
\$500 million to less than \$1 billion	13
\$1 billion or more	14
Don't know	88

Five years after the initial revenue impact? (Check one)

Less than \$1 million.....	1
\$1 million to less than \$3 million	2
\$3 million to less than \$5 million	3
\$5 million to less than \$10 million	4
\$10 million to less than \$20 million	5
\$20 million to less than \$30 million	6
\$30 million to less than \$50 million	7
\$50 million to less than \$75 million	8
\$75 million to less than \$100 million	9
\$100 million to less than \$200 million	10
\$200 million to less than \$300 million	11
\$300 million to less than \$500 million	12
\$500 million to less than \$1 billion	13
\$1 billion or more	14
Don't know	88

2e. Now think about the expected impact of the *typical* R&D project at your company.

Approximately how many years after the start of the project could you expect results to first have an impact on company revenue?

_____ years

2f. Think of the most optimistic estimate for your company revenue that could result from the typical R&D project once the impact on revenue begins.

How much annual company revenue might result from the typical project....

Two years after the initial revenue impact?

Less than \$1 million.....	1
\$1 million to less than \$3 million	2
\$3 million to less than \$5 million	3
\$5 million to less than \$10 million	4
\$10 million to less than \$20 million	5
\$20 million to less than \$30 million	6
\$30 million to less than \$50 million	7
\$50 million to less than \$75 million	8
\$75 million to less than \$100 million	9
\$100 million to less than \$200 million	10
\$200 million to less than \$300 million	11
\$300 million to less than \$500 million	12
\$500 million to less than \$1 billion	13
\$1 billion or more	14
Don't know	88

Five years after the initial revenue impact?

Less than \$1 million.....	1
\$1 million to less than \$3 million	2
\$3 million to less than \$5 million	3
\$5 million to less than \$10 million	4
\$10 million to less than \$20 million	5
\$20 million to less than \$30 million	6
\$30 million to less than \$50 million	7
\$50 million to less than \$75 million	8
\$75 million to less than \$100 million	9
\$100 million to less than \$200 million	10
\$200 million to less than \$300 million	11

\$300 million to less than \$500 million	12
\$500 million to less than \$1 billion	13
\$1 billion or more	14
Don't know	88

SECTION HEADING: Other Characteristics of Your Proposed ATP Project

- 3a. Aside from revenue impact, would you expect your proposed ATP project to lead to cost savings at your company?** (Try to answer based on how you thought about your project when you proposed it to ATP).

Yes	1	
No.....	2	(Go to Q4A)

- 3b. What do you think would be the annual cost savings 5 years after the project is completed?**

\$ _____	
THOUSAND.....	1
MILLION.....	2

- 4a. To what degree was your proposed ATP project based on university research?**

To a large degree.....	1	
To a moderate degree.....	2	
To some degree	3	
Not at all.....	4	(Go to Q4C)

- 4b. Did your proposed ATP project depend on technology licensed from universities?**

Yes	1
No.....	2

4c. For your proposed ATP project, how critical was university-based expertise and involvement?

Very critical	1
Somewhat critical	2
Not too critical	3
Not at all critical	4

4d. Was university-based expertise and involvement for your proposed ATP project more critical or less critical than for a typical R&D project at your company?

More critical.....	1
Less critical	2
About the same	3

5. To what extent would you say your proposed ATP project represented a new R&D direction for....

5a. Your company?

Large extent	1
Moderate extent	2
Small extent	3
Not at all.....	4

5b. Your industry or technology field?

Large extent	1
Moderate extent	2
Small extent	3
Not at all.....	4

6. When developing your proposed ATP project, to what extent did you....

6a. Believe that knowledge and results from the project would be public in nature and would benefit others?

Large extent	1
Moderate extent	2
Small extent	3
Not at all.....	4

6b. Plan to actively disseminate knowledge from the project by publishing or presenting results?

Large extent	1
Moderate extent	2
Small extent	3
Not at all.....	4

7. Here are a few ways that firms protect intellectual property and get value from their R&D. For each, please rate how important it might be for your proposed ATP project.

7a. Keeping results from the project as trade secret.

Extremely important	1
Very important.....	2
Somewhat important	3
Not too important.....	4

7b. Getting a patent or copyright for results from the project.

Extremely important	1
Very important.....	2
Somewhat important	3
Not too important.....	4

7c. Using complementary knowledge or resources that only you have in order to create value.

Extremely important	1
Very important.....	2
Somewhat important	3
Not too important.....	4

8. In developing your ATP proposal, to what extent did.....

8a. Individuals in your company form new ties or contacts with individuals at other organizations?

Large extent	1
Moderate extent	2
Small extent	3
Not at all.....	4

8b. Your company form new partnerships or relationships with other organizations?

Large extent	1
Moderate extent	2
Small extent	3
Not at all.....	4

8c. Your company extend or strengthen existing relationships with other organizations?

Large extent	1
Moderate extent	2
Small extent	3
Not at all.....	4

SECTION HEADING: Proposal Preparation and Review

Now we have some questions about your experience during the proposal preparation and review process.

9. How useful have each the following been for you as an information source about ATP?

9a. ATP website

Very useful.....	1
Somewhat useful.....	2
Not too useful	3
Not at all useful	4
No experience with this source	5

9b. ATP Proposers Conference

Very useful.....	1
Somewhat useful.....	2
Not too useful	3
Not at all useful	4
No experience with this source	5

9c. ATP information booth at industry or trade association meetings

Very useful.....	1
Somewhat useful.....	2
Not too useful	3
Not at all useful	4
No experience with this source	5

9d. Industry or company colleagues

Very useful.....	1
Somewhat useful.....	2
Not too useful	3
Not at all useful	4
No experience with this source	5

10. Were there any other useful information sources about ATP?

Yes → Please specify: _____
No

11. Please rate your level of satisfaction with the ATP Proposal Preparation Kit in terms of:

11a. Ease of use

Very satisfied	1
Somewhat satisfied	2
Neither satisfied nor dissatisfied.....	3
Somewhat dissatisfied	4
Very dissatisfied	5

11b. Clarity of content

Very satisfied	1
Somewhat satisfied	2
Neither satisfied nor dissatisfied.....	3
Somewhat dissatisfied	4
Very dissatisfied	5

11c. Comprehensiveness of content

Very satisfied	1
Somewhat satisfied	2
Neither satisfied nor dissatisfied.....	3
Somewhat dissatisfied	4
Very dissatisfied	5

12. If the ATP Proposal Preparation Kit were sent to you in a CD version instead of in a paper hardcopy version, would this be a problem for you?

Yes	1
No.....	2

13a. Did you submit your proposal electronically through ATP's Electronic Submission System (ESS)?

Yes 1
No, but tried to do so 2
No, and did not try to 3 (Go to Q14)

13b. How easy or difficult to use was the Electronic Submission System (ESS)?

Very easy 1
Somewhat easy..... 2
Somewhat difficult..... 3
Very difficult..... 4

14. Did you contact ATP staff with questions regarding your application?

Yes 1
No..... 2 (Go to Q16)
Don't remember 3 (Go to Q16)

15. How satisfied were you with the following?

15a. Courtesy of the staff

Very satisfied 1
Somewhat satisfied 2
Neither satisfied nor dissatisfied..... 3
Somewhat dissatisfied 4
Very dissatisfied 5

15b. Promptness of the service

Very satisfied 1
Somewhat satisfied 2
Neither satisfied nor dissatisfied..... 3
Somewhat dissatisfied 4
Very dissatisfied 5

15c. Help in resolving problems or issues

Very satisfied	1
Somewhat satisfied	2
Neither satisfied nor dissatisfied.....	3
Somewhat dissatisfied	4
Very dissatisfied	5

16. Currently, applicants submit proposals in multiple stages instead of in a single stage that combines both technical and business plans. Please indicate your *preferred* proposal submission process.

One single stage	1
Multiple stages.....	2
No preference.....	3

17. How many total hours of staff time did your company use in preparing your ATP proposal?

None. Our company did not prepare the ATP proposal	0	(Go to Q19)
Less than 40 hours	1	
40 to less than 80 hours.....	2	
80 to less than 160 hours.....	3	
160 to less than 240 hours.....	4	
240 to less than 320 hours.....	5	
320 to less than 400 hours.....	6	
400 to less than 480 hours.....	7	
480 hours or more	8	
Don't know	88	

18. What was the total cost to your company in preparing the ATP proposal?

Less than \$5,000	1
\$5,000 to less than \$10,000	2
\$10,000 to less than \$15,000	3
\$15,000 to less than \$20,000	4
\$20,000 to less than \$30,000	5
\$30,000 to less than \$40,000	6
\$40,000 to less than \$50,000	7
\$50,000 to less than \$75,000	8
\$75,000 or more	9
Don't know	88

19. Regardless of whether you received funding for the project, how useful was it for your company to go through the process of preparing the ATP proposal?

Very useful.....	1
Somewhat useful.....	2
Not too useful.....	3
Not at all useful.....	4

20. Overall, how useful to your company was the evaluative feedback you received from ATP during the review process, for example in oral review or proposal debriefing?

Very useful.....	1
Somewhat useful.....	2
Not too useful.....	3
Not at all useful.....	4

21. Please indicate your level of satisfaction with the following aspects of the proposal debriefing:

21a. Timeliness

Very satisfied	1
Somewhat satisfied	2
Neither satisfied nor dissatisfied.....	3
Somewhat dissatisfied	4
Very dissatisfied	5

21b. Clarity of content

Very satisfied	1
Somewhat satisfied	2
Neither satisfied nor dissatisfied.....	3
Somewhat dissatisfied	4
Very dissatisfied	5

21c. Comprehensiveness of content

Very satisfied	1
Somewhat satisfied	2
Neither satisfied nor dissatisfied.....	3
Somewhat dissatisfied	4
Very dissatisfied	5

22. Would you prefer oral or written format for the proposal debriefing?

Oral	1
Written	2
No preference.....	3

23. Regardless of the outcome of your proposal, to what extent do you believe the ATP review and decision process was a fair process?

Large extent	1
Moderate extent	2
Small extent	3
Not at all.....	4

24. If you have any other comments about the ATP application and review process, please share them with us:

25. How likely is it that you will apply for funding again from ATP?

Very likely	1
Somewhat likely.....	2
Somewhat unlikely	3
Very unlikely	4
Don't know	5

SECTION HEADING: Your Company's Funding for the Line of Research

Now we turn to questions about the amount of funding devoted to the specific line of research represented by your proposed ATP project.

- 26. In the three years before submitting your ATP proposal, approximately how much funding from – internal and external sources - did your company devote to this line of research?**

Your best estimate is fine.

We consider internal funding to be money from any part of your company and external funding to be money from outside of your company for specific R&D, either from government sources or other companies.

Funding from internal sources....

\$ _____	
None.....	1
Thousand.....	2
Million	3

Funding from external sources....

\$ _____	
None.....	1
Thousand.....	2
Million	3

- ☐ **Check here if your company did not devote any money to this line of research in the three years before submitting your ATP proposal. Then go to #28a.**

27. In the three years before submitting your ATP proposal, did your company receive funding from any of the following sources for this line of research?

**If so, please tell us how critical it was for
your company's research effort in this area:**

	Received Funding?		Very Critical	Moderately Critical	Somewhat Critical	Not too critical
27a. Federal government programs (other than ATP)	Yes → No Don't now	Specify agency and program (e.g. NIH/SBIR): _____				
27b. State or local government programs	Yes → No Don't know					
27c. Other companies	Yes → No Don't now					
27d. Venture capital or other private investment	Yes → No Don't now					

28a. Is your company currently carrying out any part of the R&D project that you proposed to ATP?

Yes 1
No..... 2 (Go to Q29)

28b. Which of the following best describes the scale of effort of the R&D project you are now undertaking?

Larger than proposed to ATP..... 1 (Go to Q29)
About the same as proposed 2 (Go to Q29)
Smaller than proposed 3

28c. How much of the project proposed to ATP would you say is now being carried out?

Less than 20%, 1
20% to 39% 2
40% to 59% 3
60 to 79% 4
80% or more..... 5

Now think again about the line of research represented by your proposed ATP project.

29. Since submitting your ATP proposal, approximately how much funding - from internal and external sources - has your company committed to this line of research?

Your best estimate is fine.

We consider internal funding to be money from any part of your company and external funding to be money from outside of your company for specific R&D, either from government sources or other companies.

Funding from internal sources....

\$ _____
None..... 1
Thousand..... 2
Million 3

Funding from external sources....

\$ _____
None..... 1
Thousand..... 2
Million 3

- ☐ Check here if your company did not devote any money to this line of research since submitting your ATP proposal. Then go to #31.

30. Since submitting your ATP proposal, has your company committed funds originating from any of the following sources to this line of research?

30a. Federal government programs (<i>other than ATP</i>)	Yes.....1 No.....2 Don't know.....8	Specify agency and program? (e.g. NIH/SBIR) <hr/>
30b. State or local government programs	Yes.....1 No.....2 Don't know.....8	
30c. Other companies	Yes.....1 No.....2 Don't know.....8	
30d. Venture capital or other private investment	Yes.....1 No.....2 Don't know.....8	

SECTION HEADING: About Your Company

Finally, we have just a few more questions about your company.

- 31. Approximately how many employees did your company have at the end of the year 2002?**

None.....	1
1 to 4	2
5 to 9	3
10 to 24	4
25 to 49	5
50 to 99	6
100 to 499	7
500 to 1,499	8
1,500 TO 4,999	9
5,000 to 9,999	10
10,000 to 20,000	11
20,000 or more.....	12
Don't know.....	88

- 32. What were the approximate total company revenues for the year 2002, including money from sales, licensing, consulting, and so on? (IF NECESSARY: Your best estimate is fine).**

\$ _____	
Thousand.....	1
Million	2
Billion	3
None (No revenue in 2002)	4

If your company has more than one site, please answer the remaining questions with respect to your own business location. Otherwise, answer with respect to your company.

33. At the end of the year 2002, how many employees worked in R&D at your company/business location?

None 1
 1 to 4 2
 5 to 9 3
 10 to 24 4
 25 to 49 5
 50 to 74 6
 75 to 99 7
 100 to 149 8
 150 to 199 9
 200 to 499 10
 500 to 999 11
 1,000 or more 12
 Don't know.....88

34. What was the approximate budget, from all funding sources, for R&D at your company/business location in the year 2002?

\$ _____
 Thousand..... 1
 Million 2
 None 3

35. What percentage of the year 2002 R&D budget at your company/business location would you say was devoted to product development, as opposed to research (either basic or applied)?

_____ % Product Development

- 36. What percentage of the year 2002 R&D budget at your company/business location would you say came from external funding sources?**

_____ % External Funding

- 37. Did you consult company records or any other people in order to answer any of the questions in this survey?**

Yes 1
No..... 2